

<b>INFORMATION DISCLOSURE CITATION</b>	ATTY. DOCKET NO.	SERIAL NO.
	3594-14	10/613,319
(Use several sheets if necessary)	APPLICANT	
	HARRINGTON et al.	
	FILING DATE	GROUP
	07 July 2003	3694

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
JS	5,640,569	06/1997	Miller et al.			
JS	5,774,176	06/1998	Carter			

**FOREIGN PATENT DOCUMENTS**

DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO

**OTHER DOCUMENTS (including Author, Title, Date, Pertinent pages, etc.)**

/JS/	Muniauction, Inc. v. Thomson Corp., "Defendants' Notice of "prior Art" Pursuant to 35 U.S.C. §282"
	Lawrence, U.S. Application No. 08/342,809 filed 11/21/1994
	"Is an NC more than a PC?" Network World, 1997
	Copeland, Duncan G. et al. "Sabre: The Development of Information Based Competence and Execution of Information-Based Competition" (1995)
	Leiner, Barry M. et al., "A Brief History of the Internet" (2003)
	Zakon, Robert H., IETF RFC 2235, "Hobbes' Internet Timeline" (11/1997)
	Barrett, Bryan, "Birth of the Internet
	"NCSA History: the 1990s," National Center for Supercomputing Applications (2002)
	"Entrepreneur of the Year," Ernst & Young (2002)
	Ruth, Heather, "PSA's Managing Informaiton and Technology in the Municipal Bond Market" (1995)
	"Home Many Online?" NUA (2004)
	Internet Domain Survey, Jan 2004, " Internet Systems Construction, Inc. (2004)
	Elliott, Elaine X., "A New Web Site Gives Agents an in on the Auction Craze" (11/18/1996)
	Piou, Edward, "Open-Source Software and Software Patents" (7/27/1999)
	"Amazon investor relations FAQ," Amazon.com
	"Auction Services Company Profile," Auction Services
	"Sources Guyides Energy Listing," Source Guides
	"Scout Report: June 2, 1995," InterNIC (6/1/1995)
	"Scout Report: Week Ending October 14, 1994," InterNIC (10/14/1994)
	"Scout Report: Week Ending November 11, 1994," InterNIC (11/11/1994)

*Examiner	/Jamie Swartz/	Date Considered	08/20/2007
Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Initial a this form with next communication to application.			

Sheet 2 of 7

INFORMATION DISCLOSURE  
CITATION

ATTY. DOCKET NO.

3594-14

SERIAL NO.

10/613,319

APPLICANT

HARRINGTON et al.

(Use several sheets if necessary)

FILING DATE

07 July 2003

TC/A.U.

3694

/JS/	"Scout Report: Week Ending November 18, 1994," InterNIC (11/18/1994)
	"Scout Report: Week Ending December 9, 1994," InterNIC (12/9/1994)
	"Scout Report: Week Ending July 1, 1994," InterNIC (7/1/1994)
	"Scout Report: Week Ending August 18, 1995," InterNIC (8/18/1995)
	Rutkowski, Anthony-Michael, "The Present and the Future of the Internet" Five Faces (7/27-29/1994)
	"USA Web Press Release," USAWeb.com (5/7/1999)
	Bradner, S. "Why Now?" (1993)
	Landes, David, Letter from David Landes to Dan Veres (8/16/1996)
	Thomas, Rick, Letter from Rick Thomas to Dan Veres with enclosed pamphlet (8/28/1996)
	Weber, Dr. Bruce W., "How Financial Markets are Going On-Line" (10/1993)
	Reiter, Michael K., "Distributing Trust with the Rampart Toolkit" (4/1996)
	Franklin, Mathew K. et al., "The Design and Implementation of a Secure Auction Service" (1995)
	Frank, Maurice, DMBS Online, "Database and the Internet" (12/1995)
	Stein, Lincoln D., "How to Set Up and Maintain a World Wide Web Site - The Guide for Information Providers" (8/1995)
	Comer, Douglas E., "The Internet Book" (1997)
	Stevens, W. Richard, "TCP/IP Illustrated, Vol. 3: TCP for Transactions, HTTP, NNTP, and the Unix Domain Protocol," (01/1996)
	Tanenbaum, "Computer Networks" (1996)
	Gralla, Preston, "How the Internet Work," (1996)
	Reynolds, Kate, "Going, Going, Gone! A Survey of Auction Types" (1996)
	Sutton, Marty et al., "Auctions - CMSC 691F-Electronic Commere," (1999)
	"Fundamentals of Municipal Bonds," Public Securities Association (1981)
	"bond.pl" perl script filed with provisional application (5/22/1997)
	"TIC Calculation Code" filed with provisional application (5/29/1997)
	"Twenty-First Century Municipals, Inc. Business Plan," Twenty-First Century Municipals (7/1995)
	"New BidComp Capability Announcement" (01/1995)
	"New BondBidder Capability Announcement," Financial Systems Group, Inc. (02/1995)
	"Interface Between PARITY and BidComp"
	Davis, Douglas D. et al., "Experimental Economics" (1993)
	"Micro-Muni Bidding: Reference Manual, V.7.10," Financial Management Systems, Inc. (1992)
	"Competitive Bidding Tutorial Using MicroMuni Bidding," Financial Management Systems, Inc. (1992)
	"Business Plan - Edition #3", Twenty-First Century Municipals, Inc. (05/1996)
	Parity v. 2.45, Twenty-First Century Municipals, Inc. (02/1995)
	BidComp v. 2.4, BidComp, (02/1995)
	Q-Bid, Q-Bid (09/1991)
	Bondbidder v. 5.2, BondBidder (11/1994)
	Screen captures from test Run of Q-Bid, Q-Bid (unknown)
	Screen captures from a run of BondBidder, BondBidder (unknown)
	Screen captures from a run of PARITY, Twenty-First Century Municipals (unknown)
	Speech of Gerard Miller to the Government Finance Officer's Association, Gerard Miller (05/1996)
	Text of Speect of Gerard Miller to the Government Finance Officer's Association, Gerard Miller (05/1996)
	BidComp and PARITY Screen Dumps, BidComp/Parity (unknown)
✓	*Citrix Announces Major Milestone for its Independent Computing Architecture (ICA)", Thin Planet (05/06/1997)

\*Examiner

/Jamie Swartz/

Date Considered

08/20/2007

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

Sheet 3 of 7

INFORMATION DISCLOSURE  
CITATION

ATTY. DOCKET NO.

**3594-14**

SERIAL NO.

**10/613,319**

APPLICANT

**HARRINGTON et al.**

(Use several sheets if necessary)

FILING DATE

**07 July 2003**

TC/A.U.

**3694**

/JS/	"Sample Form of MuniBid Notice of Sale" (unknown)
	"Introduction to MuniBid Optimizing Municipal Bond Sales" (unknown)
	"BidComp Competitive Bidding System" (screen capture) (1/15/1998; 3/3/1998)
	"MuniBid: Optimizing Municipal Bond Sales" Brochure (unknown)
	Parity . . . and the Municipal Securities Issuer, Unknown (unknown)
	Parity Brochure (PARITY: A Real-Time, No-Risk Bidding Network From 21 <sup>st</sup> Century Municipals, Twenty-First Century Municipals (1992)
	"Internet Benefits SF Redevelopment Offering", California Public Finance, v10, n. 21 (1/13/1997)
	"In Today's Muni Market, Data Bases, Not Books, Provide", Nicholas J. Dazzo, The Bond Buyer, v289, #2821 (8/29/1989)
	Dealers, clients With timely Bond Data: Municipal Bond Dealers have never had it so easy"
	"JP Morgan and Capital Link in Bid to develop Electronic Auction for Corporation Debt Securities", Trading Systems Technology, c2, n20 (4/24/1989)
	"Grant Street Advisors Is Setting Up the First Muni Bond Auction Web Site", The Bond Buyer, v320, #30159 (6/14/1997)
	"Survey Shows Bond Market is Warming Up to Electronic Trading", Richard Richtmyer, The Bond Buyer, v321, #30213 (8/20/1997)
	U.S. Trademark File History for mark "PARITY & Design" (Reg. No. 1772571) including specimen entitled "PARITY A Real-Time, No Risk Bidding Network From 21 <sup>st</sup> Century Municipals", Twenty-First Century Municipals (1992)
	"Electronic Bidding for Municipal Bonds: Technology Innovations for Competitive Bond Sales", Renata Morgenstern (2/2000)
	"Where is Dalcomp" New Product Awaits Inaugural Deal", Robert Whalen (8/19/1998)
	"Dalcomp's Electronic Bidding System Set to Debut With Wisconsin GO Deal", Robert Whalen (8/21/1998)
	4/30/1996 Fax, PARITY (4/30/1996)
	"Q: What Do These Issues Have in Common", Unknown (unknown)
	Official Notice of Sale, Tennessee Local Development Authority (unknown)
	Bid Form, Tennessee Local Development Authority (unknown)
	PARITY Bid Form, PARITY (unknown)
	"Financial Advisors/Issuers", Unknown (unknown)
	"Financial Advisors/Issuers" document, "Financial Advisors/Issuers see the following data for each bid and for each issue by dialing 206-635-0940 (this information only shows after the deadline for receipt of bids).", Unknown (unknown)
	Parity Issue Viewer Program Screen Specs, Parity (undated)
	90 <sup>th</sup> Annual Conference, Portland, Oregon, Government Finance Officers Association (5/19-22/1996)
	An Analysis of Emerging Trends I the Securities Industry Vol.XXII, No. 3, Securities Industry Association (7/18/1996)
	America's Financial Markets - A Global Capital Pool Vol. XXII, No. 4, Securities Industry Association (8/30/1996)
	E-Mail Notices/Minutes from Worksheets Portion of Meetings, Charles Smith (11/26/1996)
	Summary of TIC Calculations, BidComp (unknown)
	E-mail re: Answer to some Bidcomp Questions, Cheryl Horowitz (8/28/1996)
	E-mail re: BidComp Question, Jill Kirchheimer (8/22/1996)
	E-mail re: Don Wise Meeting, Jill Kirchheimer (5/21/1996)
	E-mail re: BidComp Question, Jill Kirchheimer (8/22/1996)
	E-mail re: BidComp, Jill Kirchheimer (8/23/1996)
	E-mail re: BidComp Question, Jill Kirchheimer (8/23/1996)
	E-mail re: BidComp Question, Jill Kirchheimer (8/23/1996)

\*Examiner

/Jamie Swartz/

Date Considered

08/20/2007

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

Sheet 4 of 7

INFORMATION DISCLOSURE  
CITATION

ATTY. DOCKET NO.

**3594-14**

SERIAL NO.

**10/613,319**

APPLICANT

**HARRINGTON et al.**

(Use several sheets if necessary)

FILING DATE

**07 July 2003**

TC/A.U.

**3694**

/JS/	E-mail re: BidComp, Jill Kirchheimer (8/23/1996)
	E-mail re: BidComp, Jill Kirchheimer (8/23/1996)
	E-mail re: BidComp Export, Jill Kirchheimer (8/23/1996)
	E-mail re: BidComp Question, Jill Kirchheimer (8/23/1996)
	E-mail re: BidComp, Jill Kirchheimer (8/23/1996)
	List of Things We Want to Change, BidComp (undated)
	Facsimile to Donald Wise re Bid Specifications, Angela Miceli (5/29/1996)
	Facsimile to Donald Wise re Bid Specifications, Angela Miceli (5/29/1996)
	Facsimile to Donald Wise re Bid Specifications, Cheryl Horowitz (10/24/1996)
	The Bond Buyer's Competitive Post-Sale Worksheet - Jessieville School District No. 1 of Garland County, Arkansas, The Bond Buyer (1996)
	Muniview Search Software Requirements Specification, Unknown (7/17/1997)
	Website printouts of TM Market Monitor Search printouts, Unknown (2/3/1998)
	Newsroom Feed-Thomson Municipal Market Monitor (TM3) Functional Requirement, Thomson Municipal Group (1998)
	BidComp 1992 Revenue Data, BidComp (1992)
	Memo Regarding Bidcomp Revenue Monthly Accrual for November, Angela Miceli (11/16/1992)
	PC BidComp Usage Tracking Report for 1992, BidComp (1992)
	E-mail regarding Bidcomp Revenue Monthly Accrual for January, Angela Miceli (1/21/1992)
	Summary Sheets for Glen 1-3 BidComp Summary Report, BidComp (unknown)
	E-mail regarding BidComp Revenue Monthly Accrual for August, Angela Miceli (8/21/1992)
	PC BidComp Usage Tracking Report for 1991, BidComp (1991)
/	E-mail regarding Bidcomp Revenue Monthly Accrual for October, Angela Miceli (8/16/1992)
	PC BidComp Usage Tracking Report for 1991-1992, BidComp (1991)
	BidComp Accounts Receivable Period Analysis, BidComp (7/1993)
	Parity Facsimile Return Sheet (Blank), Parity (6/1/1994)
	Executive overview, 21 <sup>st</sup> Century Municipals, Inc. (unknown)
	The Bond Buyer's Competitive Presale Worksheet (various entities), The bond Buyer (1995)
	Parity-Host Computer Operating Guide, Parity (undated)
	Letter forwarding American Banker Bond Buyer Brochure, Joyce Smith (8/28/1991)
	Customer Sales Journal, 21 <sup>st</sup> Century Municipals (1/1/1994 - 3/31/1997)
	MuniBid Survey of Dealers, MuniBid (2/7/1997)
	Letter Forwarding proposal to develop the PC BidComp Software, Dr. Ernest Manuel, Jr. (12/1/1988)
	Dalcomp and TM3: Integrated Technology Brochure, Thomson Financial Municipals Group (unknown)
	Publications and Other Research Economic Policy Review, Federal Reserve Bank of New York (1995)
	Parity Log On Screen Computer Instruction, 21 <sup>st</sup> Century Municipals, Inc. (unknown)
	Joint Marketing Agreement between 21 <sup>st</sup> Century Municipals, Inc. and T.R. Nelson & Associates, Inc., 21 <sup>st</sup> Century Municipals, Inc. (11/10/199 )
	Marketing Agreement between 21 <sup>st</sup> Century Municipals, Inc. and Thomson Municipal Services, Inc., 21 <sup>st</sup> Century Municipals, Inc. (11/22/1994)
	License and Use Agreement between 21 <sup>st</sup> Century Municipals and Integrated Financial Network, Inc., 21 <sup>st</sup> Century Municipals, Inc. (5/10/1996)
	On-Line Services for the Fixed Income Markets, 21 <sup>st</sup> Century Municipals, Inc. (7/23/1996)
	Offering Memorandum, 21 <sup>st</sup> Municipals, Inc. (4/1/1997)
↓	Post-it Note regarding TF052668-74, Cheryl Horowitz (undated)

\*Examiner

/Jamie Swartz/

Date Considered

.08/20/2007

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

Sheet 5 of 7

INFORMATION DISCLOSURE  
CITATION

ATTY. DOCKET NO.

SERIAL NO.

**3594-14****10/613,319**

APPLICANT

**HARRINGTON et al.**

(Use several sheets if necessary)

FILING DATE

TC/A.U.

**07 July 2003****3694**

/JS/	TMIS Competitive Package Business Plan, Cheryl Horowitz (11/14/1997)
	Letter to Piper Jarray Inc. regarding Parity, 21 <sup>st</sup> Municipals, Inc. (12/31/1992)
	Letter from C. Horowitz to J. McCoy re: link between BidComp and Parity, Cheryl Horowitz (3/19/1998)
	Additional comments from Financial Advisors and Issuers, Allen Williams and Cheryl Horowitz (4/9/97)
	TMG Marketing President's Report, Unknown (3/1998)
	Parity Technical Specifications, 21 <sup>st</sup> Century Municipals, Inc. (1997)
	Introduction to MuniBid Optimizing Municipal Bond Sales, Rich Thomas (undated)
	Sample Form of MuniBid Notice of Sale - Option 1: For Individual Maturity Bids Only, Rich Thomas (undated)
	Form Agreement for Underwriters re: Implementation of Parity, 21 <sup>st</sup> Century Municipals, Inc. (undated)
	Telecommunications for Municipal Security Issuers, Advisors and Dealers, 21 <sup>st</sup> Century Municipals, Inc. (undated)
	In Today's Muni Market, Data Bases, Not Books, Provide Dealers, Clients with Timely Bond Data: Municipal Bond Dealers Have Never Had it so Easy, The Bond Buyer (8/29/1989)
	JP Morgan and Capital Link in Bid to Develop electronic Auction for Corporate Debt Securities, Trading Systems Technology (4/24/1989)
	Survey Shows Bond Market is Warming up to Electronic Trading, Richard Richtmyer (8/20/1987)
	Parity: Current Customers and States, parity (4/30/1996)
	Q&A of What do these issues have in common?, Parity (6/6/1995)
	Official Notice of Sale Tennessee Local Development Authority, Unknown (5/10/1996)
	Suggested Language for Including in the Notice of Sale Regarding Parity, Unknown (unknown)
	Citations from Newsletters, Business Week (1994)
	A New Way to Manage Holiday Gift Returns; On Man's Gewgaw is Another's Treasure on Internet Auction Service, Business Wire (12/27/1996 - submitted as several articles)
	Flyer regarding BidComp, BidComp (undated)
	Thomson's Competitive Pre-Sale Worksheet, Thomson Market Information Services (1997)
	Flyer regarding BidComp, BidComp (undated)
	BidComp: Reliability and Support, Backed by the Integrity of The Bond Buyer, BidComp (undated)
	Parity Screenshots: Running the Parity Program, Parity (undated)
	Letter from D. Landes to Financial Advisors, parity (10/26/1994)
	Technology Forum: Which Technologies Will Shape the Municipal Market?, Sarah Stirland (8/14/1996)
	Reuters MuniMarket Services, Reuters MuniMarket Services (undated)
	Utah Plans \$265 Million Deal via Bloomberg, The Bond Buyer: Robert Whalen and Michael Marois (6/2/1998)
	Results of Competitive Sales, The Bond Buyer (9/30/1998)
	Bloomberg's "Virtual Road Show" Helps IPA Bury the Old Dog & Pony, The Bond Buyer: Robert Whalen (9/9/1998)
	DalComp Purchases Parity-Release, Cheryl A. Horowitz (1/5/1998)
	How to Use Parity on Your Next Sale, Parity (1/23/1998)
	Integrated Technology for today's Competitive Sale Market (brochure), Thomson Municipal Group (undated)
	Integrated Technology to Today's Competitive Sale Market (Draft), Thomson Municipal Group (undated)
	Competitive issues for School District of Upper Dublin (Pennsylvania), Unknown (6/15/1995)
	Dalcomp: A Thomson Financial Services Company (brochure), Dalcomp (undated)
	Special Survey on the Future of Electronic Bond Trading Systems, The Bond Market Association (10/1997)
	"Broker-Dealers to Hawk Productions via Satellite and Cable TV", The Bond Buyer: Sarah Stirland (4/16/1997)
	21 <sup>st</sup> Century Municipals, Inc./BondsOnline Web Stats, 21 <sup>st</sup> Century Municipals (7/22/1996)
	Parity and MuniBid: Buy the Bonds You Want!, 21 <sup>st</sup> Century Municipals (undated)
	21 <sup>st</sup> Century Municipals Customer Sales Journal, 21 <sup>st</sup> Century Municipals (3/28/1997)

\*Examiner

/Jamie Swartz/

Date Considered

08/20/2007

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

<b>INFORMATION DISCLOSURE CITATION</b>	ATTY. DOCKET NO.	SERIAL NO.
	<b>3594-14</b>	<b>10/613,319</b>
(Use several sheets if necessary)	APPLICANT	
	<b>HARRINGTON et al.</b>	
	FILING DATE	TC/A.U.
	<b>07 July 2003</b>	<b>3694</b>

/JS/	Parity Activity, 21 <sup>st</sup> Century Municipals (undated)
	Bond Activity, 21 <sup>st</sup> Century Municipals (undated)
	Broker-Dealers to Hawk Products via Satellite and Cable TV, The Bond Buyer: Sarah Stirland (4/16/1997)
	Electronic Auction Logs 110,000 <sup>th</sup> Winning Bid, Business Wire (11/26/1996)
	City First in Nation to Use Internet to Market, Sell Municipal Bonds, Johanna Pro (11/19/1997)
	Competitive Bid New Issue for City of Pittsburgh, Grant Street Advisors (11/22/1996)
	Competitive Bidding for Municipal Bonds is Coming to the World Wide Web, The Bond Buyer: Richard Richmeyer (6/4/1997)
	Deal Analysis, Thomson Municipal Market Monitor, Thomson Municipal Monitor (2001)
	E-mail from Sarah Thomas to Myles Harrington and Dan Veres re: '219 Patent, Sarah Thomas (1/13/1999)
	E-mail from Sarah Thomas to Myles Harrington and Dan Veres re: '896 Patent, Sarah Thomas (1/13/1999)
	Expedia: Screen Shot, Expedia.com (1997)
	BidComp Command Card, Angela Miceli (3/7/1996)
	Notes re BidComp/DalComp, Unknown (unknown)
	Parity Reference Manuals and Screen Shots, Parity (various 1992)
	MuniAuction Takes Show on the Road, Pitches Case to Potential Customers, Jodi B. Cohen (2/17/1998)
	Offering Memorandum, 21 <sup>st</sup> Century Municipals (4/1/1997)
	Panelists Extol the Many Benefits of Widespread Internet-Based Trading, The Bond Buyer: Robert Whalen (3/16/1998)
	PARITY (v.2.0) Screen Shots and Information Manual, Parity (1994)
	Participants See the Market Playing a Good Game of Catch-Up, The bond Buyer: Robert Whalen (4/8/199 )
	Piedmont Software Company, The Bond Swap Series, Piedmont Software Company (undated)
	Proposal to Purchase for City of Pittsburgh, City of Pittsburgh (12/3/1996)
	Proposed Structure of Joint Venture Between FSG and ABBB, Unknown (12/3/1991)
	Response from Patent Office on Harrington Application, Patent office (9/9/1999)
	Screen Shot of Bid Ohio, State of Ohio (1999-2001)
	How to Use Parity on Your Side, Parity (unknown)
	Thomson On-Line Worksheets Phase One, Thomson Financial Services (unknown)
	Thomson Pre-Sale Worksheet Printed Report, Thomson Financial Services (unknown)
	Thomson Post-Sale Worksheet Printed Report, Thomson Financial Services (unknown)
	Thomson Competitive and Negotiated Brief Printed Reports, Thomson Financial Services (unknown)
	Thomson Pre-Sale Worksheets On-Line Presentation (Draft 1.0), Thomson Financial Services (unknown)
	Thomson Post-Sale Worksheets Online Presentation (Draft 1.0), Thomson Financial Services (unknown)
	Thomson Negotiated and Competitive Briefs On-Line Presentation (Draft 1.0) Thomson Financial Services (unknown)
	Thomson Deal Analyses, Thomson Municipal Market Monitor (various)
	TMIS Competitive Package Business Plan, Cheryl Horowitz (11/14/1997)
	Trademark Application for parity, 21 <sup>st</sup> century Municipals (5/18/1993)
	PARITY Form of Agreement, David Landes (2/6/1995)
	Suggested Language for Including in the Notice of Sale Regarding PARITY, Unknown (unknown)
	Agreement between Parity and Seattle First National Bank, David V. Landes (8/25/1992)
	Agreement between Parity and Norwest Investment Services, Inc., David V. Landes (2/9/1994)
	Agreement between Parity and Kirkpatrick, Pettis, Smith, Polian Inc., David V. Landes (1/19/1993)
	Agreement between Parity and T.R. Nelson & Associates, Inc., Terry R. Nelson (11/10/1993)
	Agreement between Parity and Integrated Financial Network, Inc., David V. Landes (5/20/1996)
	Notice of Termination between Parity and Integrated Financial Network, Inc., David V. Landes (2/10/1997)

*Examiner	/Jamie Swartz/	Date Considered	08/20/2007
-----------	----------------	-----------------	------------

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

Sheet 7 of 7

INFORMATION DISCLOSURE  
CITATION

ATTY. DOCKET NO.

SERIAL NO.

**3594-14****10/613,319**

APPLICANT

**HARRINGTON et al.**

(Use several sheets if necessary)

FILING DATE

TC/A.U.

**07 July 2003****3694**

/JS/	Agreement between Parity and A.G. Edwards & Sons, Inc., David V. Landes (4/12/1995)
	Agreement between Parity and A.G. Edwards & Sons, Inc., David V. Landes (6/7/1993)
	Agreement between Parity and ABN AMRO Securities (USA) Inc., David V. Landes (7/28/1995)
	Agreement between Parity and William R. Hough & Co., David V. Landes (11/29/1995)
	Agreement between Parity and US Bank of Washington, N.A., David V. Landes (4/7/1994)
	Agreement between Parity and Fidelity Capital Markets, David V. Landes (10/26/1994)
	Agreement between Parity and Paine Webber, Inc., David V. Landes (10/15/1995)
	Agreement between Parity and Goldman, Sachs & Co., David V. Landes (2/28/1996)
	Agreement between Parity and Griffin, Kubik, Stephens & Thompson, Inc., David V. Landes (6/18/2003)
	Agreement between Parity and Clayton Brown & Associates, Inc., David V. Landes (7/7/1993)
	Agreement between Parity and Everen Securities, Inc., David V. Landes (8/8/1995)
	Agreement between Parity and Smith Barney, Inc., David V. Landes (4/29/1996)
	Agreement between Parity and Smith Barney, Inc., David V. Landes (8/11/1994)
	Agreement between Parity and Piper Jaffray Inc., David V. Landes (8/31/1992)
	Agreement between Parity and Lehman Brothers, Inc., David V. Landes (2/13/1995)
	Agreement between Parity and Prudential Securities, Incorporated, David V. Landes (11/10/1995)
	Agreement between Parity and J.P. Morgan Securities, Inc. with Amendment No. 1, David V. Landes (5/24/95, 3/1/1995)
	Agreement between Parity and Dillon, Read & co. Inc., David V. Landes (3/22/1995)
	Agreement between Parity and Russ Jansky BVP, David V. Landes (unknown)
	Agreement between Parity and Mesirow Financial Inc., David V. Landes (7/1/1993)
	Automated Trading & Straight Through Processing, Robert Whalen, The Bond Buyer (8/31/1998)
	Bloomberg Offers Free Electronic Municipal Underwriting Service, PR Newswire (8/21/1998)
	Electronic Bidding: Rare Competitive Sale by Florida Hospital Could Spark Trend, Robert Whalen, The Bond Buyer (7/29/1998)
	Electronic Offerings: Wave of the Future of Fad of the Present, Robert Whalen, The Bond Buyer (7/15/1998)
	Accounting Systems and Information Services, Robert Whalen, The Bond Buyer (7/13/1998)
	Accounting Systems and Information Services, Robert Whalen, The Bond Buyer (7/13/1998)
	Competition Rise to be Lead Muni Technology Provider, Robert Whalen, The Bond Buyer (7/8/1998)
	Bloomberg's Electronic Bidding Platform is Successfully Used for Utah GO Sale, Robert Whalen, The Bond Buyer (6/17/1998)
	From Elsewhere, California Public Finance (6/8/1998)
	Utah's Treasurer Striding to Stay in Step with the Speed of Technology, Robert Whalen, The Bond Buyer (6/3/1998)
	Bloomberg Sees Its Entry onto Bidding Playing Field as "Natural Extension", Robert Whalen and Michael B. Marois, The Bond Buyer (6/3/1998)
	Utah Plans \$265 Million Deal Via Bloomberg, Robert Whalen and Michael B. Marois, The Bond Buyer (6/2/1998)
	Utah to Hold \$265 Million Competitive Bond Sale over Bloomberg; Electronic Sale a first for both the State and Bloomberg, PR Newswire (6/1/1998)
	Electronic Bidding Through Parity and MuniBid, The Bond Buyer (8/21/1996)
	Bonds Finish Up; Competitive Deals by Wisconsin and Others Feed Market, Katie O'Donnell, The Bond Buyer (1/19/1995)
✓	Email from Veres to Chiappetta: Parity Pricing Follow-Up, Dan Veres (9/8/2000)

\*Examiner

/Jamie Swartz/

Date Considered

08/20/2007

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

**INFORMATION DISCLOSURE  
CITATION**

ATTY. DOCKET NO.

SERIAL NO.

3594-14

10/613,319

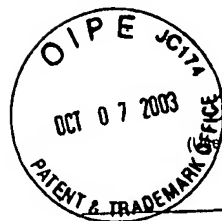
APPLICANT

HARRINGTON et al.

FILING DATE

**GROUP**

07 July 2003



(Use several sheets if necessary)

**U.S. PATENT DOCUMENTS**

[illegible]

\*Examiner

/Jamie Swartz/

Date Considered \_\_\_\_\_

08/21/2007

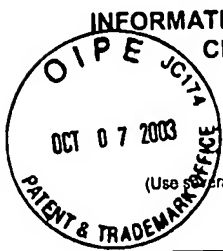
*Examiner	/Jamie Swartz/	Date Considered	5/15/11
-----------	----------------	-----------------	---------

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

781384

781384




**INFORMATION DISCLOSURE  
CITATION**

ATTY. DOCKET NO.

SERIAL NO.

3594-14

10/613,319

APPLICANT

HARRINGTON et al.

FILING DATE

GROUP

07 July 2003

**OTHER DOCUMENTS (including Author, Title, Date, Pertinent pages, etc.)**

/JS/	✓	Stirland, Sarah, "Wall Street Is Rattled by Software That Can Remake Competitive Deals," THE BOND BUYER (8/21/96)
	✓	Parity Reference manual, Version 2.7
	✓	BIDCOMP brochure, "When you've been on the underwriting desk as long as we have - you've got to be better than good. (1990)
	✓	Running the Parity program, pp. 1-14
	✓	Thomas, Rick, President MuniBid Inc., "Wall Street Players Shouldn't Block New Bidding Technology," THE BOND BUYER (10/21/96)
	✓	Whalen, Robert, "Pittsburgh Will Be First Issuer To Auction Bonds On The Web Maturity By Maturity," THE BOND BUYER (11/13/97)
	✓	Cohen Jodi B., "MuniAuction Takes Show on the Road, Pitches Case to Potential Customers," THE BOND BUYER (2/17/98)
	✓	Cullen, Terri, "Internet Auction Site for Muni Bonds Could Spark Changes in Credit Markets," THE WALL STREET JOURNAL (3/16/98)
	✓	Shields, Yvette, "Panelists at Odds Over Internet's Maturity Bidding," THE BOND BUYER (5/22/1998)
	✓	Letter from Peter K. Trzyna, Esq. dated 2/21/01
	✓	Letter from Peter K. Trzyna, Esq. dated 3/1/99
	✓	Grant Street Group Products & Services, <a href="http://www.grantstreet.com/information/products.html">http://www.grantstreet.com/information/products.html</a> , 2 pages, copyright 1997-2001
	✓	Grant Street Group Information, <a href="http://www.grantstreet.com/information/">http://www.grantstreet.com/information/</a> , 3 pages, copyright 1997-2001
	✓	Hershey Jr., Robert D., "Trading In Bonds On Line, At Last," THE NEW YORK TIMES (6/27/99)
	✓	Pro, Johnna, City first in nation to use Internet to market, sell municipal bonds," PITTSBURGH POST-GAZETTE (11/19/97)
	✓	"Municipals Sales & Trading," A collection of Bloomberg Magazine Articles
	✓	"A Review of Electronic Trading Systems in the U.S. Fixed Income Securities Markets, THE BOND MARKET ASSOCIATION (10/97)
	✓	DALCOMP brochure, "A Thomson Financial Services Company"
	✓	Press release, "Dalcomp Purchases Parity" (1/5/98)
	✓	Thomson Municipal Group brochure, "Integrated Technology"
	✓	<a href="http://www.BidOhio.com">http://www.BidOhio.com</a> , Introduction, Internet materials (1/8/01)
	✓	Richtmyer, Richard, "Muni Players Leery of Grant Street's Foray Into On-Line Bidding," THE BOND BUYER, 6/11/97
	✓	Whalen, Robert, "Pittsburgh Uses Internet For Pioneering GO Sale," THE BOND BUYER (11/19/97)
	✓	Whalen, Robert, "Pittsburgh Returns to Internet With \$257 Million Pension Deal," THE BOND BUYER (2/4/98)
	✓	Whalen, Robert, "Pittsburgh Pension Deal Blazes Maturity-By-Maturity Trail, THE BOND BUYER (2/5/98)
	✓	Notice of Sale, \$167,440,000 City of Pittsburgh, Pennsylvania, General Obligation Refunding Bonds, Series A of 1996
	✓	Clark, Kim, "On the Frontier of Creative Finance: How Wall Street Can Securitize Anything," FORTUNE (4/28/97)
	✓	Bencivenga, Dominic, "Pioneer Deal Uses Copyright to Raise Capital, THE NEW YORK LAW JOURNAL (5/15/97)
	✓	Extracts from Videotape Deposition of DANIEL VERES, pp. 102-109 (3/20/03)

\*Examiner

/Jamie Swartz/

Date Considered

08/21/2007

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

781384

Sheet 3 of 3

INFORMATION DISCLOSURE  
CITATION

(Use several sheets if necessary)

Atty. Docket No.

3594-14

Applicant

HARRINGTON et al.

Filing Date

07 July 2003

Serial No.

10/613,319

TC/AU.

3625

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/JS/	5,497,317	06/1996	Hawkins et al.			
/JS/	5,774,880	06/1998	Ginsberg			
/JS/	5,812,987	09/1998	Luskin et al.			
/JS/	5,866,889	02/1999	Weiss et al.			
/JS/	6,009,412	12/1999	Storey			
/JS/	6,131,810	10/2000	Weiss			
/JS/	6,317,727	11/2001	May			
/JS/	6,354,490	03/2002	Weiss et al.			
/JS/	6,415,269	07/2002	Dinwoodie			
/JS/	6,421,653	07/2002	May			
/JS/	6,560,580	05/2003	Fraser et al.			
/JS/	2002-0082980A1	06/2002	Dinwoodie			
/JS/	2002-0099651A1	07/2002	May			
/JS/	2003-0069753A1	4/2003	Brown			
/JS/	2003-0093360A1	05/2003	May			
/JS/	2003-0220868A1	11/2003	May			
/JS/	2003-0229571A1	12/2003	May			
/JS/	2003-0195839A1	10/2003	Dinwoodie			
/JS/	2003/0220868A1	11/2003	May			
/JS/	2003-0229571A1	12/2003	May			
/JS/	2004-0015430A1	01/2004	May			
/JS/	2004/0015431A1	01/2004	May			

## FOREIGN PATENT DOCUMENTS

TRANSLATION

DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	YES	NO
/JS/	WO 99/19821	4/1999	PCT			

## OTHER DOCUMENTS (including Author, Title, Date, Pertinent pages, etc.)


\*Examiner

/Jamie Swartz/

Date Considered

08/21/2007

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

INFORMATION DISCLOSURE  
CITATION

ATTY. DOCKET NO.

**SERIAL NO.**

3594-14

10/613,319

**APPLICANT**

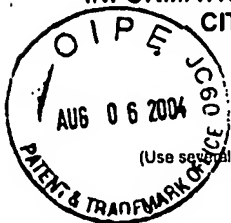
HARRINGTON et al.

FILING DATE

TC/A.U.

07 July 2003

3625



## U.S. PATENT DOCUMENTS

[illegible]

• Examiner

/Jamie Swartz/

Date Considered

08/21/2007

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

**855222**

INFORMATION DISCLOSURE  
CITATION

ATTY. DOCKET NO.

SERIAL NO.

3594-14

10/613,319

APPLICANT

HARRINGTON et al.

(Use several sheets if necessary)

FILING DATE

TC/A.U.

07 July 2003

3625

## FOREIGN PATENT DOCUMENTS

							TRANSLATION	
DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	YES	NO		
/JS/ WO 98/34187	08/1998	PCT						

*Examiner Initial	OTHER DOCUMENTS (including Author, Title, Date, Pertinent pages, etc.)
/JS/	MARKETING AGREEMENT (11/22/1994), TF 002557 – TF 002569
	SECURITIES AND EXCHANGE COMMISSION, 17 CFR Parts 200, 228, 229, 230, 232, 239, 240, 270 and 274, "Use of Electronic Media for Delivery Purposes," (5/9/1996), TF 005695-TF 005723
	SECURITIES AND EXCHANGE COMMISSION, 17 CFR Parts 228, 229, 230, 232, 239, 240, 249, 250, 259, 260, 269 and 274, "Rulemaking for EDGAR System," (12/19/1994), TF 005724-TF 005794
	SECURITIES AND EXCHANGE COMMISSION, 17 CFR Part 240, "Municipal Securities Disclosure," TF 005795-TF 005851 (11/10/1994)
	"Competitive Bond Offerings," (10/08/1997) TF 005942
	"There's a new standard in standard calculations," TIPS, Summit, NJ, (01/1996), TF 012027-TF 012047
	PARITY, "Running the PARITY program," (1997 Twenty First Century Municipals, Inc.), TF 012406-TF 012421
	PARITY, "A Real-Time, No-Risk Bidding Network From 21 <sup>st</sup> Century Municipals," (1992), TF 012542-TF 012546
	BONDBIDDER, "User's Guide Version 4.2," Financial Systems Group, Inc., Matthews, NC, TF 012645-TF 012691
	MARKETING AGREEMENT, (11/22/1994), TF 0012750 – TF 012758
	Service Mark Application – Principal Register Based on Intent to Use, Mark: PARITY and Design, (3/25/1992), TF 012759- TF 012761
	Trademark Interview and Amendment Record, (6/4/1992), TF 012764-TF 012766
	Notice of Acceptance of Statement of Use, Mark: PARITY, (2/26/1993), TF 012768
	Certificate of Registration No. 1772581, (5/18/93), TF 012771-TF 012772
	21 <sup>st</sup> Century Municipals, Inc., "CUSTOMER INVOICE ANALYSIS" 01/01/96 TO 12/31/96, (4/14/97), TF 012773
	Brochure, MuniBid, "Optimizing Bond Sales for the Tax-Exempt Issuer," TF 012795-TF 012796
	Resnick, Amy B., "Parity On-Line Bidding Program Wins Positive Reviews," TF 012797
	PARITY bidding system, TF 012813-TF 012818
	Schory, Brenda, Kane County Chronicle, "Electronic Bid Option," TF 012819, TF013802 (5/27/1993)
	PARITY Reference Manual, Version 1.22, (1993), TF 012820-TF 012852
	Bond Buyer Correspondence (1994), TF 012854-TF 012857
	"THE ELECTRONIC BID SUBMISSION SYSTEM," TF 012858-TF 012866
	7/9/1993 Letter to Dalcomp from The Bond Buyer
*Examiner	/Jamie Swartz/
	Date Considered
	08/21/2007

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

INFORMATION DISCLOSURE  
CITATION

ATTY. DOCKET NO.

SERIAL NO.

3594-14

10/613,319

APPLICANT

HARRINGTON et al.

(Use several sheets if necessary)

FILING DATE

TC/A.U.

07 July 2003

3625

*Examiner Initial	OTHER DOCUMENTS (including Author, Title, Date, Pertinent pages, etc.)		
/JS/	6/14/93 fax to American Banker-Bond Buyer, TF012871-TF012872		
	Notes, TF 012873-TF 012877		
	Bond Buyer Memo, ``(12/4/92), TF 112878		
	Bond Buyer Marketing Plan and correspondence, (7/7/1992), TF 012881-TF 012883		
	Notes, (1993),TF 012884-TF012896		
	10/13/1994 memo from David Landes, TF 012906-TF 012908		
	10/27 notes, TF 012921-TF 012923		
	11/1994 notes, TF 012925-TF 012933		
	PARITY BID FORM, (1995), TF 012934-TF 012937		
	Parity, "Product Description," TF 012940-TF 012944		
	Deal Analysis Sheets, (1997), TF 013082-TF 013255		
	Deal Analysis Sheets, (1996), TF 013261-TF 013634		
	Audio Tape, GFOA 1996 Conference, Tuesday Morning General Session , "Technologies Beyond the Finance Office," C. Toregas, et al., TF054432		
	Audio Tape, GFOA 1996 Conference, Opening General Session, T. Riordan; Mayor V. Kata, President's Address; Keynote - J. Connors, TF054433		
	Audio Tape, GFOA 1996 Conference, "Reengineering the Finance Office," K. Keith, et al., TF 054434		
	Audio Tape, GFOA 1996 Conference, "Offering Debt Information on the Internet," A. Anders, et al., TF 054435		
	Audio Tape, GFOA 1996 Conference, "www Home Pages for Governments," B. Redlin et al., TF 054436		
	Audio Tape, GFOA 1996 Conference, "Debt Affordability Analysis, A Comparative Approach," T. Firestone, et al., TF 054437		
	PARITY, "HOST COMPUTER OPERATING GUIDE," TF 01365-TF 013650		
	Fax from Landes to Dalcomp, BIDCOMP Summary Report, TF 013651-TF013652		
	PARITY, "ISSUE VIEWER PROGRAM SCREEN SPECS," TF 013653-TF 013670		
	"Task Description and Notes," (04/10/1998), TF 013671-TF 013687		
	"Calendar of PARITY issues" and other formats (1998), TF 013688-TF 013694		
	Press Release, "Wis. electronic bid test passes without a hitch" (09/15/1998), TF 013703-TF 013704		
	Whalen, Robert, THE BOND BUYER, "No Fuss, No Muss for Wisconsin Deal, And Morgan Stanley Wins the Bid," (09/16/1998), TF 013705-TF 013707		
	MuniBid brochure, "Optimizing Bond Sales for the Tax-Exempt Issuer," TF 013708-TF 013709		
	BidComp disk, TF -13710		
	THE BOND BUYER'S WORKSHEETS, BIDCOMP, TF 013711 - TF 013714		
	THE BOND SWAP SERIES, Piedmont Software Company, Charlotte, NC, TF 013715 - TF 013728		
	PARITY, Reference Manual, Version 1.22 (09/01/1992), TF 013775-TF 013801		
	"INSTRUCTIONS FOR ACCESSING ISSUER PROGRAM" (PARITY 1992-1994), TF 013805 - TF 013813		
	"HOST COMPUTER OPERATING GUIDE," TF 013814-TF 013823		
	PARITY, "Running the PARITY program," TF 013829-TF 013843 (PARITY 1993-1995)		
	"NOW, ALL THE POWER OF BIDCOMP CAN FIT IN YOUR PC," TF 013944-TF 013946		
	</		

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

INFORMATION DISCLOSURE  
CITATION

ATTY. DOCKET NO.

SERIAL NO.

3594-14

10/613,319

APPLICANT

HARRINGTON et al.

(Use several sheets if necessary)

FILING DATE

TC/A.U.

07 July 2003

3625

*Examiner Initial	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent pages, etc.)		
/JS/	FSG, "SYSTEM DESCRIPTIONS," Financial Systems Group, Inc., Matthews, NC, TF 014000-TF 014008		
	FSG, Financial Systems Group, Inc., TF 014009-TF 014013		
	PARITY, "Reference Manual, Version 2.7," TF 014016-TF 014051		
	Government Finance Officers Association, "Technology and Public Finance, 90 <sup>th</sup> Annual Conference, Portland, Oregon," (May 19-22, 1996), TF 054143- TF 054187		
	Article, "Fax Your Bid to Brevard"		
	"Bid Submission Confirmation" (July 21, 1992)		
	"Bidcomp Screen," "Parity Bid Entry Screen," text TF 002565		
	Brochure: "It's the SIA/PSA Standard Securities Calculations Software Library. Produced by TIPS." TF 012033, 012035		
	Add		
	"BONDBIDDER User's Guide, Version 4.2," Financial Systems Group, Inc., TF 012645-TF 012691		
	Citations TF 050079-TF 050145 (printed 10/1/01)		
	RetroSearch, 9/13/2001 TF 050146-TF 050150		
	Citations TF 050151-TF050179 (printed 10/1/01)		
	Citations TF 050180-TF050185 (printed 9/13/01)		
	Citations TF 050186-TF 050338 (Printed 9/13/01)		
	Citations TF 050339-TF 050501 (Printed 10/2/01)		
	Citations TF 050502-TF 050530 (Printed 2/6/02)		
	Citations TF 050531-TF 050534 (Printed 2/6/02)		
	Citations TF 050535-TF 050706 (Printed 2/6/02)		
	Citations TF 050707-TF 050770 (Printed 2/6/02)		
	Citations TF 050771-TF 050775 (Printed 10/2/01)		
	Citations TF 050776-TF 050780 (Printed 10/2/01)		
	Citations TF 050781-TF 050787 (Printed 10/2/01)		
	Citations TF 050788-TF 050864 (Printed 10/2/01)		
	Citations: TF 054133-TF 954135 (Printed 4/18/02)		
	Bureau of the Public Debt online, "Public Debt's Strategic Plan 1997-2001" TF 050950-TF 050962, TF 050867-TF 050879		
	Government Finance Officers Association – GFOA.ORG, TF 050963-TF 050987 (Copyright 2002)		
	Yahoo Premium Document Search, Search results, TF 050988-TF 051013 (Printed 2/6/02)		
	"Bidding Wars" TF 051014-TF 051016 (10/10/1997)		
	"Poway set to auction land in industrial part. (South Poway Business Park)," San Diego Business Journal, TF 051017-TF 051018 (7/3/1995)		
	Edwards, Cheryl L., "Open Market Operations in the 1990s," Federal Reserve Bulletin, pp 859-874, TF 051045-TF 051060 (11/1997)		
	"ONSALE Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet retail service debuts with week-long charity auction for The Computer Museum in Boston," TF 051625-TF 051627 (5/24/1995)		
	Siegmann, "Nowhere to go but up," PC WEEK, v. 12, n. 42, TF 051628-TF 051630 (10/23/1995)		

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

**INFORMATION DISCLOSURE  
CITATION**

ATTY. DOCKET NO.

SERIAL NO.

3594-14

10/613,319

APPLICANT

HARRINGTON et al.

(Use several sheets if necessary)

FILING DATE

TC/A.U.

07 July 2003

3625

*Examiner Initial	OTHER DOCUMENTS (including Author, Title, Date, Pertinent pages, etc.)
/JS/	"INTERNET BOOMS – Onsale joins fray as online shopping picks up speed," COMPUTER RESELLER NEWS, p. 73 TF 051631, 051632 (6/5/1995)
	Federal Reserve Bank of New York Research and Market Analysis Group, "Publications & Other Research 1997," TF 051779-TF 051822
	Bartolini, L. and Cottarelli, C., "Designing Effective Auctions for Treasury Securities," FEDERAL RESERVE BANK OF NEW YORK CURRENT ISSUES IN ECONOMICS AND FINANCE, Vol. 3, number 9, TF 051817-TF 051822, TF 050003-TF 050073 (7/1997)
	Federal Reserve Bank of New York Research and Market Analysis Group, "Publications & Other Research 1995," TF 051826-TF 051863
	Reinhart, V., "An Analysis of Potential Treasury Auction Techniques," FEDERAL RESERVE BULLETIN (June 1992) TF 051893-TF 051903
	Mester, Loretta J., "There's More than One Way to Sell a Security: The Treasury's Auction Experiment," BUSINESS REVIEW (July/August 1995) TF 051906-TF 051920
	Friedman, Milton, "How to Sell Government Securities," THE WALL STREET JOURNAL, p. A8 (8/28/1991), TF 051921-TF 051923
	Stevens, E.J. and Dumitru, Diana, "Auctioning Treasury Securities," ECONOMIC COMMENTARY FEDERAL RESERVE BANK OF CLEVELAND (6/15/1992) TF 051924-TF 051927
	Brochure, "The Finance Officer and The Communities of Tomorrow," Conference dates: June 1-4, 1997, Exhibit dates: June 1-3, 1997, Application/Contract for Exhibit Space, Registration Form, TF 051928-TF 051935
	Preliminary Conference Program, "The Finance Officer and The Communities of Tomorrow," 91 <sup>st</sup> Annual Conference, June 1-4, 1997, TF 051937-TF 051952
	"Joint Report on the Government Securities Market," TF 051953-TF 052148 (January 1992)
	Miller, Preston J. and Roberds, William, "How Little We Know About Deficit Policy Effects," FEDERAL RESERVE BANK OF MINNEAPOLIS QUARTERLY REVIEW WINTER 1992, TF 052149-TF 052168
	Umlauf, Steven R., "An empirical study of the Mexican Treasury bill auction," JOURNAL OF FINANCIAL ECONOMICS 33 (1993) 313-340. North-Holland, TF 052169-TF 052196 (1993)
	Brochure, "Integrated Technology," Thomson Municipal Group, TF 002702-TF 002706
	White, Wilson, "BASICS, The Municipal Bond Market," TF 006782-TF-007043 (1985)
	FUNDAMENTALS OF MUNICIPAL BONDS, Fourth Edition, Public Securities Association, TF 007044-TF 007280 (1990)
	GLOSSARY OF MUNICIPAL SECURITIES TERMS, First Edition: 1985 Municipal Securities Rulemaking Board, TF 007281-TF 007396
	Security Industry TRENDS, An Analysis of Emerging Trends in the Securities Industry, Vol. XXII, No. 4, "America's Financial Markets – A Global Capital Pool," TF 010721-TF 010732 (8/30/1996)
	Security Industry TRENDS, An Analysis of Emerging Trends in the Securities Industry, Vol. XXII, No. 3, "Securities Industry Performance: 1H96," TF 010734-TF 010764 (7/18/1996)
	Whalen, Robert, "News and Trends: Market Keen on Dalcomp acquisition, Expanded Platform for Internet Deals," THE BOND BUYER, TF 012295-TF 012297 (3/4/1998)
	Ulick, Jake, "Strong Demand For New Deals Uplifts Munis, Slashes Yields," THE BOND BUYER, TF 012298-TF 012299 (2/4/1998)
✓	Prospero, L., "Munis Unchanged As Busy New-Issue Session Begins," DOW JONES NEWSWIRES, TF 012300 (2/3/1998)

\*Examiner

/Jamie Swartz/

Date Considered

08/21/2007

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 809; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

INFORMATION DISCLOSURE  
CITATION

ATTY. DOCKET NO.

3594-14

SERIAL NO.

10/613,319

APPLICANT

HARRINGTON et al.

(Use several sheets if necessary)

FILING DATE

07 July 2003

TC/A.U.

3625

*Examiner Initial	OTHER DOCUMENTS (including Author, Title, Date, Pertinent pages, etc.)		
/JS/	Prospero, L., "Munis -2: Pittsburgh To Sell \$257M Bonds Via Internet," DOW JONES NEWSWIRES, TF 012301- TF 012302 (2/2/1998)		
	Rannazzisi, J., "Munis End Flat As New Issues Worth \$2 Billion Are Well Received," THE BOND BUYER, TF 012303—TF 012304 (11/19/1997)		
	Richtmyer, R., "News and Trends: Muni Players Leery of Grant Street's Foray Into On-Line Bidding," THE BOND BUYER, TF 012305-TF 012307 (06/11/1997)		
	Richtmyer, R., "Grant Street Advisers is Setting Up The First Muni Bond Auction Web Site," THE BOND BUYER, TF 012308-TF 012309		
	Richtmyer, Richard, "Gaining PARITY: Dalcomp Purchases Electronic Bid System to Exploit Internet," THE DIGEST, Vol. 323, No. 30338, TF 012395-TF 012396 (2/25/1998)		
	Brochure, "MuniBid, Optimizing Bond Sales for the Tax Exempt Issuer," TF 012795-TF 012796		
	Brochure, "BIDCOMP: Reliability and support, backed by the integrity of The Bond Buyer," TF 013947-TF 013948		
	"The 1998 Review of Electronic Transaction Systems in the U.S. Fixed Income Securities Markets," TF 049957-TF 049983 (11/1998)		
	"The Bureau of the PUBLIC DEBT, Strategic and Operational Plan 1997-2001," TF 049984-TF 049999		
	"1996 Survey on the Use of the Internet and Other On-Line Services by Public Finance Officials," BMIA, Government Finance Officers Assn., TF 050865-TF 050866, TF 054320-TF 054324		
	Bureau of the Public Debt online, "Public Debt's Strategic Plan 1997-1002, TF 050867-TF 050879 (Updated 5/20/1999)		
	Cammack, Elizabeth B., "Evidence on Bidding Strategies and the Information in Treasury Bill Auctions," JOURNAL OF POLITICAL ECONOMY, TF 052197-TF 052227		
	Schmerken, Ivy, "Cleansing The Treasury Auction," WALL STREET COMPUTER REVIEW, Vol. 9, No. 2, 29, TF 053206-TF 053210, TF 054138-TF 054142		
	McCright, John S., "Auctioning off the Internet, Delphi, museum to sell wares on web," TF 053211, TF 054136-TF 054137		
	K.C.; Harlan, Megan, Reviews, "The Week" ENTERTAINMENT WEEKLY, 05/02/97 Issue 377, p 64, TF 053212-TF 053214		
	Gordon, Maynard M., "Auctions become high tech. (auto auctions)," DEALER BUSINESS, Vol. 29, No. 7, p. 21, TF 053215-TF 053217(March 1995)		
	Mardesich, Jodi, "Onsale takes auction gavel electronic; site offers clearance for end-of-life products," COMPUTER RESELLER NEWS, NO. 691, p. 2, TF 053218-TF 053220 (7/8/1996)		
	Elliott, Elaine X., "A New Web Site Gives Agents An In on the Auction Craze," TRAVEL AGENT, TF 053221-TF 053224 (11/18/1996)		
	Cyberguide: Learning Lab + Marketplace, NETGUIDE, Vol. 2, No. 8 (08/1995) TF 053345-TF 053349		
	"Online Auction House Finds Growth With Second-Hand Technology," WEBWEEK, Vol. Two, Issue Eight, TF 053392-TF 053397 (6/17/1996)		
	Ravindran, S. et al., "Strategies for Smart Shopping in Cyberspace," JOURNAL OF ORGANIZATIONAL COMPUTING AND ELECTRONIC COMMERCE 6(1), 33-49, TF 053398-TF 053406 (1996)		
	Cheng, Kipp, "On-the-block party; A celeb auction in cyberspace," ENTERTAINMENT WEEKLY, TF 053427(5/2/1997)		
	Eng, Paul M., "Auctioning Off Relics Of The Computer Age," BUSINESS WEEK ONLINE, TF 053407 (4/11/1994)		
	Eng, Paul M., "Window-Shopping Will Never Be The Same," BUSINESS WEEK ONLINE, TF 053408 (4/11/1994)		
*Examiner	/Jamie Swartz/	Date Considered	08/21/2007

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.



INFORMATION DISCLOSURE  
CITATION

ATTY. DOCKET NO.

SERIAL NO.

3594-14

10/613,319

APPLICANT

HARRINGTON et al.

(Use several sheets if necessary)

FILING DATE

TC/A.U.

07 July 2003

3625

*Examiner Initial	OTHER DOCUMENTS (including Author, Title, Date, Pertinent pages, etc.)
/JS/	Citations: TF053409 (printed 10/2/01)
	Lu, Stacy, "Taking In the Sites; Web's On-Line Auctions Are a Browser's Delight," THE NEW YORK TIMES, TF 953410-TF 053412 (12/30/1996)
	Bryant, Adam, "Am I Bid Six? Click to Bid Six!; Airlines Are the Latest to Move to On-Line Auctions," THE NEW YORK TIMES, TF 053413-TF 053416 (5/13/1996)
	Lewis, Peter H., "Company News; Auction of Collectibles on the Internet," THE NEW YORK TIMES, TF 053417-TF 053418 (5/23/1995)
	Plotkin, Hal, "Art Net," FORBES, TF 053419-TF 053422 (4/6/1998)
	Flanagan, William G. et al., "Auctions on the Internet?" FORBES, TF 053423-TF 053424 (12/18/1995)
	"Executive Travel; Business Travel Notes," LOS ANGELES TIMES, TF 053425-TF 053426 (9/28/1995)
	"On-line auctions: Going, going ...," THE ECONOMIST, TF 053428-TF 053429 (5/31/1997)
	Wilder, Clinton, "Sold! On the Web - Internet Shopping Network's First Auction hopes to out-earn its parent," INFORMATION WEEK, TF 053430-TF 053431 (06/16/1997)
	Tomkins, Richard, "Passengers take a seat at the Internet auction: Richard Tomkins on airlines' ventures into cyberspace in their quest to fill unused capacity," FINANCIAL TIMES (LONDON), TF 053432-TF 053433 (6/17/1996)
	Copulsky, Erica, "Art dealers eye Internet as auction mechanism; Cantor Fitzgerald said to be looking seriously," INVESTMENT DEALERS' DIGEST, TF 053434-TF 053435 (11/11/1996)
	Smith, Laura B., "Going...gone; auctions on the Web; includes a related article on RFPs on the Web; PC Week Executive; Internet/Web/Online Service Information," PC WEEK, TF 053436-TF 053440 (08/26/1996)
	Business Wire, "eBay's AuctionWeb: A New Way to Manage Holiday Gift Returns; One Man's Gewgaw is Another's Treasure on Internet Auction Service," TF 053478, 053487 (12/27/1996)
	Business Wire, "eBay's AuctionWeb Tops One Million Bids; Leading Online Auction Service Announces Record Year (12/12/1996) TF 053478-TF 053479, 053487-88
	PR Newswire, "Bonsai Software Introduces the EasyAuction™ Internet Auction Service," TF 053480, 053489 (12/11/1996)
	PR Newswire, "Bonsai Software Unveils Fourth Internet Auction," TF 053481, 053490 (11/11/1996)
	Business Wire, "Internet Retailer ONSALE Successfully Sells \$12,000 Mainframe in Online Auction Over the World Wide Web," TF 053482, 053491 (11/15/1996)
	"Online auction site building strength," COMPUTER RETAIL WEEK, P. 51, TF 053483, 053493 (12/2/1996)
	O'Connell, D., "Aer Lingus holding auction of airline seats on Internet," TRAVEL TRADE GAZETTE UK & IRELAND, p. 15, TF 053484, 053493 (11/6/1996)
	PR Newswire, "Aer Lingus Internet Auction - Update," TF 053484-TF 053485, 053453-54 (8/12/1996)
	PR Newswire, "Aer Lingus Launches Cyber-Values on the Internet; Irish Airline is First European Carrier to Offer Seat Facility," TF 053485-TF 053486, 053494-95 (08/01/1996)
	Lee, Ho Geun & Clark, Theodore H., "Impacts of the Electronic Marketplace on Transaction Cost and Market Structure," INTERNATIONAL JOURNAL OF ELECTRONIC COMMERCE/FALL 1996, Vol. 1, No. 1, pp. 127-149, TF 053496-TF053518 (1996)
↓	Rockoff, Todd E. and Groves, Michael, "Design of an Internet-based system for remote Dutch auctions," INTERNET RESEARCH: ELECTRONIC NETWORKING APPLICATIONS AND POLICY, Vol. 5, No. 4, pp. 10-16, TF 053519-053525 (1995)

\*Examiner

/Jamie Swartz/

Date Considered

08/21/2007

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

*Examiner	/Jamie Swartz/	Date Considered	08/21/2007
-----------	----------------	-----------------	------------

**855222**